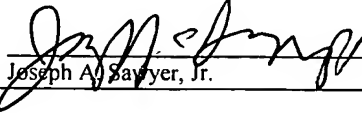


EXPRESS MAIL CERTIFICATE

I hereby certify that the above paper/fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to the Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on **April 2, 2004**, Express Mail No. **EV388027193US**. Signature of Person mailing paper/fee:


Joseph A. Sawyer, Jr.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Date: April 2, 2004

Karelle L. CORNWELL et al.

Confirmation No.: To Be Assigned

Serial No.: To Be Assigned

Group Art Unit: To Be Assigned

Filed: Herewith

Examiner: To Be Assigned

For: SYSTEM AND METHOD FOR SELECTIVE PARTITION LOCKING

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. §1.97

Sir:

Pursuant to 37 C.F.R. §1.97 and §1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. The Examiner is requested to make these documents of record. This Information Disclosure Statement is being submitted:

- ☐ With copies.
- ☐ Without copies. Copies of the documents were previously submitted in an Information Disclosure Statement and/or Office Action, directed to the related application Serial No. **, filed **. This protocol conforms with 37 C.F.R. §1.98(d) and M.P.E.P. 609 (A)(2).
- ☒ This Information Disclosure Statement is being submitted with only copies of non-U.S. patent publication(s) and non-patent literature. This protocol conforms with 37 CFR 1.98(a)(2)(i), which waives the requirement for submitting a copy of each cited U.S. Patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003.

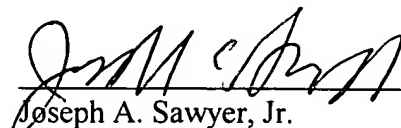
- ☒ With the application; accordingly, no fee or separate requirements are required.
 - ☐ After receipt of a first Office Action on the merits, but before the mailing date of a Final Office Action under §1.113, or a Notice of Allowance §1.311. Accompanied by one of:
 - ☐ Certification under 37 CFR §1.97(e); or
 - ☐ The fee set forth in §1.17(p)
 - ☐ After mailing of a final Office Action or Notice of Allowance, but on or before payment of the issue fee. Accompanied by:
 - ☐ Certification under 37 CFR §1.97(e); and
 - ☐ The fee set forth in §1.17(p)
 - ☐ A Certification under 37 C.F.R. §1.97(e) is provided below:
 - ☐ I hereby certify that each item of information was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- or-
- ☐ I hereby certify that no item of information was cited in a communication from a foreign patent office in a counterpart foreign application or, to the best of my knowledge after making a reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

If any unresolved issues remain, please contact Applicant's attorney at the telephone number indicated below. The Commissioner is hereby authorized to charge any fees associated with this communication, or credit any overpayment, to Deposit Account No. 09-0460 (IBM Corporation).

Respectfully submitted,

SAWYER LAW GROUP LLP


Joseph A. Sawyer, Jr.

Attorney for Applicant(s)

Reg. No. 30,801

(650) 493-4540

April 2, 2004

Date

FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTY. DOCKET NO. STL919960054US2/1737CIP	SERIAL NO. To Be Assigned
	APPLICANT: Karelle L. CORNWELL et al.	
	FILING DATE: Herewith	GROUP: To Be Assigned

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPRO.)
		4 3 9 9 5 0 4	08/16/87	Obermarck et al.	364	200	
		4 7 1 6 5 2 8	12/29/87	Crus et al.	364	300	
		4 7 2 7 4 8 5	02/23/88	Keshlear et al.	364	200	
		4 9 6 5 7 1 9	10/23/90	Shoens et al.	364	200	
		6 2 2 6 1 4 3	07/06/93	Baird et al.	395	425	
		5 3 0 1 2 9 0	04/05/94	Tetzlaff et al.	395	425	

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation
		WO 91/03024	03/07/91	PCT			

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

		IBM Technical Disclosure Bulletin, "Method for Performance Enhancement in the Parallel Execution of Status Database Transactions," August 1994, Vol. 37, No. 8, pp. 609-614.
		Dias, Daniel M. et al., "Integrated Concurrency -Coherency Controls for Multisystem Data Sharing, IEEE, Trans on Software Engineering, Vol. 15, No. 4, New York, NY, 1989, pp. 437-447.
		C. Mohan et al., "Efficient Locking and Caching of Data in the Multisystem Shared Disks Transaction Environment," 3 rd Inv. Conf. On Extending Database Technology, Vienna, March 1992, 16 pages.
		"An Introduction to Database Systems," Chapter 14, "Concurrency," C.J. Date, 6 th Edition, Addison-Wesley Systems Programming Series, 1995, pp. 391-415.

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.